



Multilateral Fund for the Implementation of
the Montreal Protocol

POLICIES, PROCEDURES, GUIDELINES AND CRITERIA
(As at November 2017)

CHAPTER X: INSTITUTIONAL STRENGTHENING

Content	3
X. INSTITUTIONAL STRENGTHENING	5
Objectives.....	5
Requests for institutional strengthening	5
Renewal of institutional strengthening projects	5
Renewal of institutional strengthening in countries where there are delays in project implementation.....	6
Renewal of institutional strengthening projects within the Strategic Planning Framework.....	6
Format for terminal reports and extension requests relating to institutional strengthening	7
Report on activities of ozone protection units	8
Data submission requirements of Article 7	8
Level and timeframe of funding beyond 2010	8
Level of funding for the phase-down of HFCs.....	10
Effectiveness of existing arrangements.....	10
Mandate and responsibilities	10
General principles for agreements between Governments and Implementing Agencies on new and renewed institutional strengthening projects	11
Enhancing capacity-building in ozone units in the final stages of the Protocol compliance period.....	12
Annex X.1: Terminal report for institutional strengthening projects	15
Annex X.2: Extension of institutional strengthening projects: Revised Plan of Action.....	19
Annex X.3: Revised Format for institutional strengthening terminal reports and institutional strengthening renewal requests.....	22
Annex X.4: Revised Format for institutional strengthening terminal reports and institutional strengthening renewal requests.....	26

X. INSTITUTIONAL STRENGTHENING**OBJECTIVES**

Support for institutional strengthening within an Article 5 Party, though not explicitly contained in the guidelines on incremental costs adopted by the Parties, might, in exceptional cases, be an essential element in achieving the objectives of the Fund and the Montreal Protocol. As such, limited funding or assistance should be provided by the Fund for institutional strengthening. The level of such funding should be decided upon by the Executive Committee on the basis of a recommendation from the Secretariat taking into consideration the amount of controlled substances consumed in that country and the linkage between the institutional strengthening and specific implementation projects.

(UNEP/OzL.Pro/ExCom/5/16, para. 28d).

(Supporting document: UNEP/OzL.Pro/ExCom/7/20).

(UNEP/OzL.Pro/ExCom/7/Inf.3).

The main objective of institutional strengthening is to provide necessary resources to an eligible country to enable it to strengthen a mechanism within the country to facilitate expeditious implementation of projects for speedy and effective phase-out of the controlled substances as well as to ensure the effective liaison between the country on the one hand, and the Executive Committee, the Fund Secretariat, and the Implementing Agencies on the other.

(UNEP/OzL.Pro/ExCom/7/30, para. 74.2).

(Supporting document: UNEP/OzL.Pro/ExCom/7/20).

(UNEP/OzL.Pro/ExCom/7/Inf.3).

REQUESTS FOR INSTITUTIONAL STRENGTHENING

Requests for institutional strengthening should be considered as special projects subject to approval by the Executive Committee on the basis of a written request submitted by the interested Party. However, in order to avoid any possible delays in providing support to requesting countries, the Implementing Agencies may review and implement such requests within their work programmes, except where the funding requested exceeds US \$500,000, and report to the Executive Committee through the Fund Secretariat as and when such requests are approved for implementation.

(UNEP/OzL.Pro/ExCom/7/30, para. 74.3).

(Supporting document: UNEP/OzL.Pro/ExCom/7/20).

(UNEP/OzL.Pro/ExCom/7/Inf.3).

Requests for institutional strengthening should be included in the country programme of the Party requesting such assistance. However, the requests for institutional support may be submitted separately as a free-standing project ahead of the country programme where circumstances demand.

(UNEP/OzL.Pro/ExCom/7/30, para. 74.4).

(Supporting document: UNEP/OzL.Pro/ExCom/7/20).

(UNEP/OzL.Pro/ExCom/7/Inf.3).

The Twentieth Meeting of the Executive Committee decided:

- (a) to request Implementing Agencies, when preparing institutional-strengthening projects for low-volume ODS consuming countries, to give due consideration to the need for formulating a refrigerant management plan, including a recovery and recycling project in the refrigeration sector;
- (b) that, while the Implementing Agencies could proceed immediately with the disbursement of the first one-year tranche of the funds approved for institutional strengthening in low-volume ODS consuming countries, subsequent disbursements would be contingent on the submission of a report to the Executive Committee on the status of development of a refrigerant management plan, including a recovery and recycling project, for the country concerned.

(UNEP/OzL.Pro/ExCom/20/72, Decision 20/4, para. 14).

RENEWAL OF INSTITUTIONAL STRENGTHENING PROJECTS

The Executive Committee recommended extension of institutional strengthening activities that have been completed for an interim period of six months *pro rata* on the basis of the first three-year allocation on the understanding that guidelines for second round institutional strengthening should be developed by the Fund Secretariat, and an evaluation and monitoring exercise would be carried out by the Implementing Agencies during the period and that, if necessary, the extensions could be renewed for a further six months pending completion of a full evaluation.

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

(UNEP/OzL.Pro/ExCom/17/60, Decision 17/16 para. 25).

The Nineteenth Meeting of the Executive Committee decided:

- (a) in the case of countries requesting institutional-strengthening projects for the first time, approval would be for three years;
- (b) initial renewals would be at the same level of funding as the first approval; would be for two years; and would be conditional upon a report of progress and an articulated plan of future actions, this report to be submitted six months before the end of the three-year approval period; and
- (c) any subsequent renewal would also be for two years; and would also be conditional upon a report of progress and an articulated plan of future actions.

(UNEP/OzL.Pro/ExCom/19/64, Decision 19/29, para. 54).

The Twenty-fourth Meeting of the Executive Committee decided:

- (a) that some flexibility should be shown in how countries used the funds approved under projects for renewal of institutional strengthening and that, while slight variations in funds transferred between budget lines could be accepted, overall accountability was essential;
- (b) that, while a full copy of a progress report submitted under an institutional strengthening renewal should be made available to those members of the Executive Committee that requested one, provision of a summary in documentation for the meeting would suffice.

(UNEP/OzL.Pro/ExCom/24/47, Decision 24/23, para. 46).

The Twenty-fourth Meeting of the Executive Committee also decided to request the Implementing Agencies, when submitting requests for institutional strengthening renewal projects, to provide the very latest information available when preparing the summary of the project and country profile.

(UNEP/OzL.Pro/ExCom/24/47, Decision 24/32, para. 56).

Renewal of institutional strengthening in countries where there are delays in project implementation

The Twenty-fifth Meeting of the Executive Committee decided to request the Secretariat, in cases where a renewal request for an institutional strengthening project had been received:

- (a) to implement the guidelines for renewal;
- (b) to continue to examine what progress had been made in the implementation of the country's phase-out programmes; and
- (c) to draw to the attention of the Executive Committee any issues that delayed project implementation so that it could take an informed decision.

(UNEP/OzL.Pro/ExCom/25/68, Decision 25/14, para. 39).

Renewal of institutional strengthening projects within the Strategic Planning Framework

The Thirty-fifth Meeting of the Executive Committee decided that all institutional strengthening projects and renewals shall be approved at a level that is 30 per cent higher than the historically agreed level. This will help countries carry out the new strategic framework agreed, and provide increased support for critical areas such as public awareness. The level of institutional strengthening funding noted above should prevail until 2005 when it should again be reviewed. This proposal would also include a clear commitment that this level of institutional strengthening or a level close to it should prevail for all Article 5 Parties until at least 2010, even if they should phase-out early. It should also be noted that, in addition to this direct increase in institutional strengthening funding, UNEP will, as agreed in 2000, be provided with US \$200,000/year to support public awareness, and countries will receive enhanced direct support on policy and substantive issues through UNEP's new Compliance Assistance Programme. Finally, it should be noted that countries undertaking national phase-out plans are likely to receive institutional strengthening funding at an even higher level than that anticipated above to facilitate national project implementation, as explicitly agreed in related phase-out agreements.

(UNEP/OzL.Pro/ExCom/35/67, Decision 35/57, para. 112(a)).

The Forty-second Meeting of the Executive Committee decided to request the Secretariat, in consultation with relevant bilateral and Implementing Agencies, to prepare a document for consideration at its 43rd Meeting on the potential implications of subsequently increasing the amounts approved for institutional strengthening projects, paying particular attention to the question of how many similar cases might be involved, indicating the problems faced by ozone units in very-low-volume-consuming-countries and the options for ensuring

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

adequate capacity, including increased funding.

(UNEP/OzL.Pro/ExCom/42/54, Decision 42/22 (b), para. 90(b)).

The Forty-third Meeting of the Executive Committee decided:

- (a) to supplement the lower ranges of annual funding levels for institutional strengthening for very low-volume-consuming countries and low volume consuming countries up to a threshold level of US \$30,000 per year, on the understanding that:
 - (i) this amount could be reviewed in the context of the review of institutional strengthening funding levels due to be considered in 2005 in accordance with decision 35/57 and the review of the requirement for further assistance for countries post-2007 also foreshadowed for 2005 under decision 31/48; and
 - (ii) the increase to the US \$30,000 threshold level would be provided on the condition that:
 - i. the relevant country duly assigned a full-time officer to manage the ozone unit; and
 - ii. a national licensing system controlling ODS imports was in place; and
- (b) to consider this matter, in the context of the review of institutional strengthening funding, in 2005 and to request the Secretariat to continue to collect relevant information in that respect.

(UNEP/OzL.Pro/ExCom/43/61, Decision 43/37, para. 128).

(Supporting document: UNEP/OzL.Pro/ExCom/43/49).

Format for terminal reports and extension requests relating to institutional strengthening

The Thirty-first Meeting of the Executive Committee decided to approve for the time being the revised formats for terminal reports and extension requests for institutional strengthening projects contained in Annexes X.1 and X.2, while inviting the members of the Sub-Committee to offer their suggestions for improvement, for discussion at the next Sub-Committee meeting.

(UNEP/OzL.Pro/ExCom/31/61, Decision 31/16, para. 35).

(Supporting document: UNEP/OzL.Pro/ExCom/31/16).

The Thirty-second Meeting of the Executive Committee decided to approve the revised formats for terminal reports and extension requests relating to institutional strengthening with the following changes:

- (a) requiring signatures for those preparing and submitting the reports in both formats;
- (b) describing, in both formats, how the action plan for the institutional strengthening project has been integrated in the national authorities' planning process, in particular the country programme;
- (c) including the following question in both formats: "Describe the role and position of the NOU within the national administration, the way its work was supervised and its access to senior decision makers. Give the name and title of the government officer who had the overall responsibility of supervising the work of the NOU and ensured that action taken was adequate to meet the commitments under the Protocol, and include co-operation with steering committees, advisory groups or inter-ministerial bodies as well as the government entities which dealt with import/export licensing and customs";
- (d) adding to the extension request format a description of sources/methods of collecting data on imports, exports and production as well as distribution by sector, and attaching the job description of the head of the National Ozone Unit.
- (e) adding in table 9 of the extension request a column specifying work months for planned activities and, in table 12, replacing "Other funds" by "Government funding".

(UNEP/OzL.Pro/ExCom/32/44, Decision 32/17, para. 28).

(Supporting document: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).

The Sixty-first Meeting of the Executive Committee decided:

- (a) To note the document on Institutional strengthening: Options for funding and formats for renewal requests (UNEP/OzL.Pro/ExCom/61/49);
- (b) To maintain funding for institutional strengthening (IS) support at current levels, and to renew IS projects for the full two-year period from the 61st Meeting, taking into account decisions 59/17 and 59/47(b) that allowed Article 5 Parties to submit their IS projects as stand-alone projects or within their HCFC phase-out management plans, and to review continued IS funding at those levels at the first meeting of the Executive Committee in 2015; and

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

- (c) To approve the revised format for IS renewals with the identified objectives and indicators contained in Annex X.3, and to request the bilateral and implementing agencies to use those formats for requests for renewal of IS projects submitted to the 62nd Meeting and onwards.

(UNEP/OzL.Pro/ExCom/61/58, Decision 61/43 para.104).

(Supporting document: UNEP/OzL.Pro/ExCom/61/49).

The Seventy-fourth Meeting of the Executive Committee decided:

- (e) To continue to use the existing format for IS renewals as approved at the 61st meeting (decision 61/43(c)) with a modification in section 10, to indicate that performance indicators should be included, as contained in Annex X.4.

(UNEP/OzL.Pro/ExCom/74/56, decision 74/51, para 165e).

(Supporting document: UNEP/OzL.Pro/ExCom/74/56, Annex XIX).

Report on activities of ozone protection units

The Seventeenth Meeting of the Executive Committee decided that the Implementing Agencies should provide information on the activities and work programmes of the ozone protection units supported by the institutional strengthening funds approved by the Executive Committee.

(UNEP/OzL.Pro/ExCom/17/60, Decision 17/24 para. 38a).

Data submission requirements of Article 7

The Executive Committee requested Article 5 Parties and the Implementing Agencies collaborating with them in preparing projects on institutional strengthening, to make provisions to address the needs of the country with respect to the data submission requirements of Article 7 of the Montreal Protocol.

(UNEP/OzL.Pro/ExCom/10/40, para. 134).

Requests from Article 5 countries for institutional strengthening support should be decided on their individual merits (case-by-case basis). In considering the requests on a case-by-case basis, the peculiar circumstances influencing ODS phase-out in the country should be considered together with the recommended funding level. Institutional strengthening should be considered with the necessary flexibility and comments made by the members should be taken into account.

(UNEP/OzL.Pro/ExCom/7/30, para. 74.1, 75).

(Supporting document: UNEP/OzL.Pro/ExCom/7/20).

(UNEP/OzL.Pro/ExCom/7/Inf.3).

The Forty-second Meeting of the Executive Committee decided to urge implementing and bilateral agencies to provide all assistance possible to countries for which they were implementing institutional strengthening projects in order to eliminate instances of non reporting of data.

(UNEP/OzL.Pro/ExCom/42/54, Decision 42/17, para. 78).

Level and timeframe of funding beyond 2010

The Fifty-Eighth Meeting of the Executive Committee decided to approve institutional strengthening renewals up to 31 December 2010

(UNEP/OzL.Pro/ExCom/58/53, Decision 58/16, para. 83).

(Supporting document: UNEP/OzL.Pro/ExCom/58/18).

The Twenty-first Meeting of the Parties decided:

1. To urge the Executive Committee to extend financial support for institutional strengthening funding for Article 5 Parties beyond 2010;
2. To urge the Executive Committee to finalize its consideration of funding of institutional strengthening projects as expeditiously as possible, taking into account current and emerging challenges;
3. To recommend that the Executive Committee does not require that institutional strengthening funding be incorporated within funding for HCFC phase-out management plans only, but allows flexibility for an Article 5 party to do so if it so chooses.

(UNEP/OzL.Pro.21/8, Decision XXI/29).

The Fifty-ninth Meeting of the Executive Committee decided that Article 5 Parties had the flexibility to submit requests for institutional strengthening funding either as part of their HCFC phase-out management plans or separately, as they so chose

(UNEP/OzL.Pro/ExCom/59/59, Decision 59/17 para. 95).

(Supporting document: UNEP/OzL.Pro/ExCom/59/11).

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

The Fifty-ninth Meeting of the Executive Committee decided:

- (a) To extend financial support for institutional strengthening (IS) funding for Article 5 Parties beyond 2010 up to December 2011; and
- (b) To allow Article 5 Parties to submit their IS projects as stand-alone projects or within their HCFC phase-out management plans.

(UNEP/OzL.Pro/ExCom/59/59, Decision 59/47 para.237).

(Supporting document: UNEP/OzL.Pro/ExCom/59/53).

The Sixtieth Meeting of the Executive Committee decided:

- (a) To extend the date for funding of institutional strengthening (IS) projects approved at the 59th Meeting of the Executive Committee not exceeding two years up to December 2011 in line with decision 59/47;
- (b) To request the Secretariat to prepare a document on objectives, indicators and formats pertaining to requests for the renewal of IS projects for consideration by the Executive Committee at its 61st Meeting; and
- (c) To consider the issue of the options for funding IS projects further at the 61st Meeting of the Executive Committee.

(UNEP/OzL.Pro/ExCom/60/54, Decision 60/10 para.80).

The Sixty-first Meeting of the Executive Committee decided:

- (a) To note the document on Institutional strengthening: Options for funding and formats for renewal requests (UNEP/OzL.Pro/ExCom/61/49);
- (b) To maintain funding for institutional strengthening (IS) support at current levels, and to renew IS projects for the full two-year period from the 61st Meeting, taking into account decisions 59/17 and 59/47(b) that allowed Article 5 Parties to submit their IS projects as stand-alone projects or within their HCFC phase-out management plans, and to review continued IS funding at those levels at the first meeting of the Executive Committee in 2015; and
- (c) To approve the revised format for IS renewals with the identified objectives and indicators contained in Annex X.3, and to request the bilateral and implementing agencies to use those formats for requests for renewal of IS projects submitted to the 62nd Meeting and onwards.

(UNEP/OzL.Pro/ExCom/61/58, Decision 61/43 para.104).

(Supporting document: UNEP/OzL.Pro/ExCom/61/49).

The Sixty-second Meeting of the Executive Committee decided:

- (a) To reiterate that the inclusion of institutional strengthening (IS) funding in an HCFC phase-out management plan (HPMP), in line with decision 59/17, made it subject to the performance-based targets under the multi-year agreement covering the HPMP including all the conditions required for future tranche funding; and
- (b) To request bilateral and implementing agencies to inform Article 5 countries of the consequences of choosing to include IS in the HPMP and remind them that they could continue to receive IS funding as stand-alone projects.

(UNEP/OzL.Pro/ExCom/62/62, decision 62/15, para 56).

The Seventy-fourth Meeting of the Executive Committee decided:

- (a) To note the review of funding of institutional strengthening (IS) projects prepared in line with decision 61/43(b), as contained in document UNEP/OzL.Pro/ExCom/74/51;
- (b) To recall and reiterate the decisions adopted by the Executive Committee regarding IS;
- (c) To approve all IS projects and renewals at a level 28 per cent higher than the historically agreed level, with a minimum level of IS funding of US \$42,500 per year, to continue support for compliance with the Montreal Protocol and to address the challenges related to the phase-out of HCFCs in line with the objectives of decision XIX/6 and the transition to alternatives that minimized environmental impact;
- (d) To review IS, including funding levels, at the first Executive Committee meeting in 2020; and

(UNEP/OzL.Pro/ExCom/74/56, decision 74/51, para 165a-d).

(Supporting document: UNEP/OzL.Pro/ExCom/74/51).

Level of funding for the phase-down of HFCs

The Seventy-eighth meeting of the Executive Committee decided

(b) To consider increasing funding for institutional strengthening at a future meeting in accordance with paragraph 20 of decision XXVIII/2.

(UNEP/OzL.Pro/ExCom/78/11, decision 77/4, para 108(b).

(Supporting document: UNEP/OzL.Pro/ExCom/78/7).

EFFECTIVENESS OF EXISTING ARRANGEMENTS

The Twenty-seventh Meeting of the Executive Committee decided:

(a) to request the Secretariat to invite members of the Executive Committee to provide to the Secretariat before 1 May 1999 their views on the effectiveness of existing institutional strengthening arrangements and the functioning of ozone units;

(b) to request the Secretariat, in co-operation with the Implementing Agencies, to prepare a document for the next meeting of the Sub-Committee on Monitoring, Evaluation and Finance summarizing the main features of Implementing Agencies' existing agreements for institutional strengthening.

(UNEP/OzL.Pro/ExCom/27/48, Decision 27/10, para. 30).

Mandate and responsibilities

The Thirtieth Meeting of the Executive Committee decided:

(a) to take note of the final report on the 1999 evaluation of institutional strengthening projects and draft follow-up action plan;

(b) to urge all Article 5 countries with institutional strengthening projects to ensure that:

(i) the National Ozone Unit is given a clear mandate and responsibility to carry out the day-to-day work in order to prepare, coordinate and, where relevant, implement the government's activities to meet its commitments under the Montreal Protocol; this also requires access to decision-makers and enforcement agencies;

(ii) the National Ozone Unit's position, capacities, and continuity of officers, resources and lines of command within the authority in charge of ozone issues are such that the National Ozone Unit can carry out its task satisfactorily;

(iii) a specified high-level officer or a post within the authority is given overall responsibility for supervising the work of the National Ozone Unit and ensuring that action taken is adequate to meet commitments under the Protocol;

(iv) necessary support structures, such as steering committees or advisory groups are established, involving other appropriate authorities, the private sector and non-governmental organizations, etc.;

(v) personnel and financial resources and equipment provided by the Multilateral Fund are fully allocated to the task of eliminating ODS consumption and production and are made available to the National Ozone Unit;

(vi) annual work plans for the National Ozone Unit are prepared and integrated in the authorities' internal planning processes;

(vii) a reliable system to collect and monitor data on ozone depleting substances imports, exports and production is established; and

(viii) measures taken and problems encountered are reported to the Secretariat and/or the Implementing Agency in charge of the institutional strengthening project when required by the Executive Committee.

(c) to request the Secretariat, in collaboration with interested Article 5 and non-Article 5 countries and the Implementing Agencies, to prepare general principles for agreements between governments and the Implementing Agencies on new and renewed institutional strengthening projects which incorporate the elements under (b), while recognizing that the agreements should be appropriate and adaptable to the specific situation in different countries. These principles should emphasize that action to be undertaken should be stated in general terms only in the institutional strengthening agreement;

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

- (d) to instruct the Implementing Agency in charge of the institutional strengthening project to follow up the phase-out status and problems encountered by the National Ozone Unit and discuss and propose possible solutions with them;
- (e) to instruct all Implementing Agencies to ensure that their project proposals are based on the current strategic planning of the Article 5 country government and ensure that the National Ozone Unit is fully involved in the planning and preparation of projects, regularly provide National Ozone Units with information on the progress of project implementation and assist them in improving their capacity to monitor and evaluate projects implemented and their impact at the country level;
- (f) to request the Implementing Agencies to define a procedure to justify reallocation of funds among the budget lines of institutional strengthening projects and report to the Thirty-first Meeting of the Executive Committee; and
- (g) to request UNEP and UNIDO to review whether quarterly progress reporting can be extended to six-month intervals and to report thereon to the Thirty-first Meeting of the Executive Committee.

(UNEP/OzL.Pro/ExCom/30/41, Decision 30/7, para. 24).

(Supporting document: UNEP/OzL.Pro/ExCom/30/6 and Corr.1).

The Fifty-sixth Meeting of the Executive Committee decided:

- (a) to take note of the final report on the evaluation of institutional strengthening projects as presented in document UNEP/OzL.Pro/ExCom/56/8;
- (b) to request:
 - (i) the Fund Secretariat to take into account the findings of the evaluation in its review of the funding for institutional strengthening pursuant to Executive Committee decision 53/39;
 - (ii) the implementing agencies to review procedures for fund disbursement and reporting and administrative requirements with a view to minimizing project implementation delays for institutional strengthening projects while ensuring that accountability for institutional strengthening funds disbursed was maintained;
 - (iii) the Fund Secretariat, implementing agencies and the bilateral agencies, in consultation with Article 5 countries, to agree on a set of objectives, expected results and indicators, which would be incorporated into future institutional strengthening extension requests;
 - (iv) the implementing agencies to monitor implementation of institutional strengthening projects and to submit any requests for renewal up to six months in advance of expiry of the existing project in line with Executive Committee decision 19/29;
 - (v) the Fund Secretariat to review the formats for terminal reports and extension requests for institutional strengthening projects with the aim of rationalizing reporting and project review;
 - (vi) UNEP, through the Compliance Assistance Programme (CAP), to allocate time during network meetings to discuss institutional strengthening reporting and the importance of requesting renewals on time; and
 - (vii) UNEP to develop a training module on policy and technical issues related to the reduction of HCFCs, with technical inputs from the other implementing agencies, for briefings of national ozone units during network meetings.

(UNEP/OzL.Pro/ExCom/56/64, Decision 56/6 para 48)

(Supporting document: UNEP/OzL.Pro/ExCom/56/8).

General principles for agreements between Governments and Implementing Agencies on new and renewed institutional strengthening projects

The Thirty-second Meeting of the Executive Committee decided:

- (a) to request UNEP and UNIDO to move the following elements of para. (b) of Decision 30/7 from section 3.3, "Assumptions", of the revised model agreement as currently proposed to section 6.4.1, "General terms and conditions":
 - (i) the National Ozone Unit is given a clear mandate and responsibility to carry out the day-to-day work in order to prepare, coordinate and, where relevant, implement the government's activities to meet its commitments under the Montreal Protocol; this also requires access to decision-makers and

- enforcement agencies;
- (ii) the National Ozone Unit's position, capacities, and continuity of officers, resources and lines of command within the authority in charge of ozone issues are such that the National Ozone Unit can carry out its task satisfactorily;
 - (iii) a specified high-level officer or a post within the authority is given overall responsibility for supervising the work of the National Ozone Unit and ensuring that action taken is adequate to meet commitments under the Protocol;
 - (iv) annual work plans for the National Ozone Unit are prepared and integrated in the authorities' internal planning processes;
- (b) to request the World Bank to revise the proposed amendment letter in order to ensure consistency with Decision 30/7;
 - (c) to request UNDP, when incorporating para. (b) of Decision 30/7 in the separate section of each agreement entitled "Special considerations", to insert a chapeau worded as follows: "The [Government/Ministry] and UNDP commit to co-operate to ensure that:";
 - (d) to request the Sub-Committee on Monitoring, Evaluation and Finance to review the matter at its next meeting in the light of comments received from the Implementing Agencies on the legal aspects of the proposed changes.

(UNEP/OzL.Pro/ExCom/32/44, Decision 32/15, para. 26).

(Supporting document: UNEP/OzL.Pro/ExCom/32/18).

The Thirty-third Meeting of the Executive Committee decided:

- (a) to note with appreciation the proposals of UNEP, UNIDO and the World Bank to comply with the requirements of Executive Committee decisions 30/7 and 32/15;
- (b) to request UNDP to amend the chapeau in the Special Considerations section of project documents for institutional strengthening projects to read "Executive Committee decision 33/12 decided that Governments commit to ensure that:";
- (c) also to request UNDP to include the following sentence in the Legal Context section of project documents for institutional strengthening projects: "Executive Committee decision 33/12 decided that Governments shall implement clauses i to viii under the title 'Special Considerations' in the Plan of Action attached.";
- (d) further to request the Multilateral Fund Secretariat to forward the text of the Executive Committee decision in a letter to governments;
- (e) to note the proposed amendments by the Implementing Agencies to their agreements for institutional strengthening projects in UNEP/OzL.Pro/ExCom/33/16;
- (f) to request Implementing Agencies to apply those new requirements for institutional strengthening projects in all future agreements in this area.

(UNEP/OzL.Pro/ExCom/33/32, Decision 33/12, para. 29).

Enhancing capacity-building in ozone units in the final stages of the Protocol compliance period

The Forty-fifth Meeting of the Executive Committee decided to request the Secretariat to expand on the paper from China and to present to the 47th Meeting the preliminary results of an analysis of possible further action and policies required to assist compliance with the phase-out requirements for all the ODS covered by the Montreal Protocol, including the review of institutional strengthening projects envisaged under decision 35/57.

(UNEP/OzL.Pro/ExCom/45/55, Decision 45/55, para. 176).

(Supporting document: UNEP/OzL.Pro/ExCom/45/48).

The Forty-seventh Meeting of the Executive Committee decided:

- (a) to note that in the compliance period specific measures had been taken to provide additional, and guaranteed institutional support and to re-focus the work of the Executive Committee on facilitating compliance;
- (b) to agree that the measures already taken constituted an appropriate response to meeting the needs of Article 5 countries in regard to their compliance obligations under the Montreal Protocol up to and including 1 January 2010;

X. INSTITUTIONAL STRENGTHENING

Policies, procedures, guidelines, criteria (As at November 2017).

- (c) to note that the anticipated actions required by Article 5 countries to meet compliance obligations after 2010 provided an indication that funding support for institutional strengthening might need to be continued after 2010;
- (d) that possible funding arrangements and levels for institutional strengthening support beyond 2010 should be examined at the end of 2007;
- (e) to explore the extent, nature and eligibility of any additional measures that might be considered for funding by the Executive Committee to address surveys, institutional measures and/or other preparatory activities for HCFC phase-out in the light of the results of the China policy study and the surveys carried out by UNDP;
- (f) to acknowledge that institutional strengthening support might need to be revised in accordance with the Executive Committee's guidelines when a country formally revised its baseline with the Parties to the Protocol; and
- (g) to request the Secretariat, in consultation with the implementing agencies, to prepare for the 49th Meeting a paper examining the relative merits of replacing the current requirements for submission of requests for renewal of an institutional strengthening project with a simplified arrangement that would make use of the report on progress on implementation of country programmes, which is now provided annually by all Article 5 countries receiving support from the Multilateral Fund, together with an annual cycle of funding renewals, but with no change to the annual levels of funding provided.

(UNEP/OzL.Pro/ExCom/47/61, Decision 47/49, para. 186).

(Supporting document: UNEP/OzL.Pro/ExCom/47/53).

The Forty-ninth Meeting of the Executive Committee decided:

- (a) to maintain for the time being the current arrangements for submission and consideration of requests for renewal of institutional strengthening projects;
- (b) to request the Secretariat to continue to examine opportunities to fine-tune the institutional strengthening renewal process and to address any additional findings in the context of the review of institutional strengthening funding post-2010, to be presented to the Executive Committee at the end of 2007 in accordance with decision 47/49; and
- (c) to request the Secretariat to draft remarks to be addressed to the governments of those countries for which there were issues that might require urgent attention in order to maintain progress with phase-out and/or compliance or, alternatively, commenting favourably on exceptional successes or specific phase-out achievements.

(UNEP/OzL.Pro/ExCom/49/32, Decision 49/32, para. 138).

(Supporting document: UNEP/OzL.Pro/ExCom/49/38).

The Fifty-third Meeting of the Executive Committee decided:

- (a) to note that the anticipated actions required by Article 5 countries to meet compliance obligations after 2010 provided an indication that funding support for institutional strengthening would likely be needed after 2010 and that possible funding arrangements and levels for institutional strengthening support beyond 2010 should be examined taking into account paragraph (b) below, especially in light of decision XIX/6 of the Nineteenth Meeting of the Parties, which imposed new obligations with respect to an accelerated HCFC phase-out;
- (b) to request the Secretariat to review possible funding arrangements and levels for capacity building, to explore the extent, nature and eligibility of any additional measures that might be considered for funding by the Executive Committee to address activities for HCFC phase-out consistent with guidelines pertaining to institutional strengthening activities to be agreed by the Executive Committee and to report to the Executive Committee by the first Meeting of 2009.

(UNEP/OzL.Pro/ExCom/53/67, Decision 53/39, para. 212).

(Supporting document: UNEP/OzL.Pro/ExCom/53/61).

The Fifty-seventh Meeting of the Executive Committee decided:

- (a) To take note of the Secretariat's paper (document UNEP/OzL.Pro/ExCom/57/63) on review of the current funding arrangements for institutional strengthening (IS);
- (b) To continue to fund requests for the renewal of IS projects up to the end of December 2010 at current

X. INSTITUTIONAL STRENGTHENING *Policies, procedures, guidelines, criteria (As at November 2017).*

levels pending final resolution of the matter by the Executive Committee at its 58th Meeting; and

- (c) To request the Secretariat to continue its work on objectives, indicators and formats so that the results could be applied to requests for renewal of IS projects submitted by the countries from the beginning of 2010 onwards.

(UNEP/OzL.Pro/ExCom/57/69, Decision 57/36, para. 188).

(Supporting document: UNEP/OzL.Pro/ExCom/57/63).

ANNEX X.1: TERMINAL REPORT FOR INSTITUTIONAL STRENGTHENING PROJECTS

(Sections 1-20 to be completed by the country concerned prior to sending it to the Implementing Agency for comments in Section 21).

1. Country:
2. National Implementing Agency / Ozone Unit:
3. Implementing Agency:
4. List of previous project phases:

Phase	Duration	MLF Funding (approved)	MLF funding (disbursed)

5. Indicate the main project objective and the detailed objectives as defined in the action plan for the phase reported upon:

6. Describe the results achieved by category and compare them with the results foreseen in the Action Plan:

Year	Activities	Results expected	Results achieved
1st Year			
2nd Year			
Describe additional results unforeseen in the Action Plan:			

7. Breakdown of approved costs, actual expenditures and Government funding as pertinent:

	Approved	Spent	Government funding	Other sources
a) Equipment component				
b) Professional staff				
c) Support staff				
d) Consultants				
e) Operational cost				
f) Funds for public awareness				
g) Contingency				
h) Others including in-kind (specify)				
Total amount				

8. Personnel Employed:

Category and Numbers	Functional Titles/Expertise	Main Tasks	Time Period
Professional Staff			
Support Staff			
Consultants			

9. Were resources (staff, budget, equipment) used for activities in addition to the approved action plan? If so, please specify:

10. Describe the role and position of the NOU within the national administration, the way its work was supervised and its access to senior decision-makers. Give name and title of the government officer who had the overall responsibility of supervising the work of the NOU and ensured that action taken was adequate to meet the commitments under the Protocol, and include the co-operation with steering committees, advisory groups or inter-ministerial bodies as well as the government entities who dealt with import/export licensing and customs:

11. Describe how the action plan for the IS project has been integrated in the national authorities' planning process in particular, the country programme:

12. Title and date of reports submitted:

To Whom:	Title of Report	Submission (Year/Quarter)	
		Planned	Actual
1. Government Departments			
2. Reports to Multilateral Fund Secretariat			
3. Reports to Ozone Secretariat			

4. Implementing Agency			
5. Other Implementing Agency(ies)			
6. Bilateral Donor(s)			
7. Others			

13. Were adequate advice and/or technical support received from:

	Yes	No	Please specify
a) Implementing Agency			
b) Other Implementing Agency(ies)			
c) Bilateral Donor(s)			
d) Government Departments			
e) National Steering Committee			
f) Others (please specify)			

14. Support received from Regional Network (Network Coordinator/Manager and Network members) and input provided to the Network:

Support received from Regional Network	Input provided to Network

15. Was the NOU subject to an audit by the beneficiary Government or by the Implementing Agency? If yes, what were the results?

16. Lessons learnt (what were the main successes and difficulties and what can be learnt from them for improving effectiveness and impact during the next phase):

17. Terminal Report prepared by:

Name and signature of Officer responsible for preparing the Terminal Report:	
Title:	
Organization/Agency/Ministry:	
Date:	

18. Government authority with oversight responsibility for the IS project/NOU:

Name and signature of Officer responsible:	
--	--

Title:	
Organization/Agency/Ministry:	
Date:	
Comments:	

19. Implementing Agency:

Name and signature of Officer responsible:	
Title:	
Organization/Agency/Ministry:	
Date:	
Comments:	

(UNEP/OzL.Pro/ExCom/31/61, Decision 31/16, para. 35).

(UNEP/OzL.Pro/ExCom/32/44, Decision 32/17, para. 28).

(Supporting document: UNEP/OzL.Pro/ExCom/31/16).

ANNEX X.2: EXTENSION OF INSTITUTIONAL STRENGTHENING PROJECTS: REVISED PLAN OF ACTION

(Sections 1-16 to be completed by the country concerned prior to sending it to the Implementing Agency for comments in Section 17).

1. Country:
2. National Implementing Agency / Ozone Unit
3. Implementing Agency:
4. Period of Extension: From (month/year) to (month/year).
(Based on the approved guidelines).
5. Amount of MLF funding requested:
6. Status of ratification:

Amendment	Ratification date	or Projected date
London Amendment		
Copenhagen Amendment		
Montreal Amendment		

7. Consumption by group of substances and by sector. This is identical to the annual report the Ozone Units submit to the Fund Secretariat on the progress of implementation of Country Programmes. Please attach form with data for the most recent year and describe sources/methods of collecting data on imports, exports and production as well as distribution by sector:

8. Indicate the main project objective for the next phase in relation to the country's compliance with the provisions of the Montreal Protocol:

9. Objectives, planned activities per year and expected results:

Year	Objectives	Planned activities	Work months	Results expected
1st Year				
2nd Year				

10. Describe the role and position of the NOU within the national administration, the way its work is supervised and its access to senior decision-makers. Give name and title of the government officer who has the overall responsibility for supervising the work of the NOU and for ensuring that action taken is adequate to meet the commitments under the Protocol, and include the co-operation with steering committees, advisory groups or inter-ministerial bodies as well as the government entities dealing with import/export licensing and customs:

11. Describe how the action plan for the IS project will be integrated in the national authorities' planning process, in particular, the country programme:

12. Planned Project Cost:

	Planned project cost	MLF Funding	Government funding	Other sources
a) Equipment component				
b) Professional staff				
c) Support staff				
d) Consultants				
e) Operational cost				
f) Funds for public awareness				
g) Contingency				
h) Others including in-kind (specify)				
Total amount				

13. Personnel required:

Category and number	Functional Titles/Expertise	Main tasks	Time period
Professional staff			
Support staff			
Consultants			

Please attach job description of the Head of the National Ozone Unit

14. Title and schedule of reports to be submitted:

To whom:	Title of report	Planned submission (Year/quarter)
1. Government Departments		
2. Reports to Multilateral Fund Secretariat		
3. Reports to Ozone Secretariat		
4. Implementing Agency		
5. Other Implementing Agency(ies)		
6. Bilateral Donor(s)		
7. Others		

15. Action Plan prepared by:

Name and signature of Officer responsible for preparing the Action Plan:	
Title:	
Organization/Agency/Ministry:	
Date:	

16. Government endorsement:

Action Plan authorized by (name):	(to be signed on hard copy)
Title:	
Supervising Organization/Agency/Ministry:	
Date:	

17. Submission of Action Plan:

Name of Implementing Agency:	
Name and signature of Project Officer:	
Date:	
Comments of Implementing Agency:	

(UNEP/OzL.Pro/ExCom/31/61, Decision 31/16, para. 35).

(UNEP/OzL.Pro/ExCom/32/44, Decision 32/17, para. 28).

(Supporting document: UNEP/OzL.Pro/ExCom/31/19).

ANNEX X.3: REVISED FORMAT FOR INSTITUTIONAL STRENGTHENING TERMINAL REPORTS AND INSTITUTIONAL STRENGTHENING RENEWAL REQUESTS

REVISED FORMAT FOR INSTITUTIONAL STRENGTHENING TERMINAL REPORTS AND INSTITUTIONAL STRENGTHENING RENEWAL REQUESTS

TERMINAL REPORT AND REQUEST FOR EXTENSION OF INSTITUTIONAL STRENGTHENING FUNDING

20xx to 20xx

Sections 1 to 12 and 15 to be completed by the country concerned prior to transmission to the implementing agency for comments in 14.

1. Country: _____
2. National implementing agency / ozone unit: _____
3. Implementing agency: _____
4. Institutional strengthening (IS) project phases (approved):

Phase	Duration (dd/mm/yy)	Multilateral Fund funding (approved)	Multilateral Fund funding (disbursed)

5. a) Reporting period (mm/yy to mm/yy): _____
- b) Requested (phase funding (US \$), and period): _____

6. Data reporting:

Reporting requirement	Reported		Year reported	Year submitted
	yes	no		
Article 7				
Country programme implementation				

7. Describe the role and position of the National Ozone Unit (NOU) within the national administration, the way its work is supervised and its access to senior decision-makers (this may include cooperation with steering committees, advisory groups or inter-ministerial bodies).

-
-
8. Indicate the total number staff in the NOU:
- How many are paid under the IS? _____ Full time _____ Half time _____
 - How many are paid by the Government? _____ Full time _____ Half time _____

9. Is the unit fully staffed? YES NO

If no, explain _____

10. Please provide details on the status of the implementation of the activities approved from the previous IS phase and planned activities for the requested phase. Please add specific indicators if necessary.

Objectives (please add as necessary)	Activities in current phase	Achievements in current phase (specify phase/mm/yy)	Planned activities in next phase (specify phase/mm/yy)	Expected results for next phase
Objective 1: Adoption/implementation of ODS legislation and regulation to control and monitor ODS consumption				
Introduction of licensing and quota system for HCFCs				
Enforcement of control measures to sustain CFC phase out				
Monitoring illegal ODS trade (all ODS)				
Ratification of Amendments to the Montreal Protocol				
Objective 2: Efficient and timely data collection and reporting				
Monitoring customs import/export				
Article 7 data reporting				
Country programme data reporting				
Objective 3: Consultations and coordination with other national agencies/stakeholders				
Steering Committee				
Industry associations				

Objectives (please add as necessary)	Activities in current phase	Achievements in current phase (specify phase/mm/yy)	Planned activities in next phase (specify phase/mm/yy)	Expected results for next phase
Objective 4: Supervision of timely implementation of phase-out activities and reduction in ODS consumption				
Terminal phase-out management plan implementation				
HCFC phase-out management plan preparation/implementation				
Project 1				
Project 2				
Objective 5: Awareness raising and information exchange				
Information dissemination to key stakeholders				
International Ozone Day				
Objective 6: Regional cooperation and participation to Montreal Protocol meetings				
Regional network participation				
Open-ended Working Group / Meeting of the Parties				

11. Financial report:

Item of expenditure	Budget for current phase (US \$)	Disbursement (for current phase) (US \$)		Estimated budget (for requested phase) (US \$)	Government funding (in kind contribution) (US \$)	
		Actual	Obligated		Current phase	Requested phase
Staff (including consultants)						
Equipment						
Operational cost (i.e. meetings, consultations, etc.)						
Public awareness						
Other						
TOTAL						

12. Please evaluate the IS performance in meeting the following indicators:

Indicator	Evaluation			Comments
	Very good	Satisfactory	Poor	
1. Effectiveness of import control measures				
2. Integration of ozone protection issues into national plans				
3. Completion of phase-out projects				
4. Efficient data reporting				

13. Government endorsement:

Action plan authorized by (<i>name</i>):	
Signature of authorising authority:	<i>(to be signed on hard copy)</i>
Title:	
Supervising Organization/Agency/Ministry:	
Date:	

14. Submission of action plan:

Name of implementing agency:	
Name of Project Officer:	
Signature of Project Officer:	
Date:	
Comments of the implementing agency:	

15. Executive summary: please provide summaries for the information required below in no more than one paragraph each. These paragraphs will be used in documents for the Executive Committee Meeting.

- a) Terminal report
- b) Plan of action

*(UNEP/OzL.Pro/ExCom/61/58, Decision 61/43 para.104).
(Supporting document: UNEP/OzL.Pro/ExCom/61/49).*

ANNEX X.4: REVISED FORMAT FOR INSTITUTIONAL STRENGTHENING TERMINAL REPORTS AND INSTITUTIONAL STRENGTHENING RENEWAL REQUESTS

REVISED FORMAT FOR INSTITUTIONAL STRENGTHENING TERMINAL REPORTS AND INSTITUTIONAL STRENGTHENING RENEWAL REQUESTS

TERMINAL REPORT AND REQUEST FOR EXTENSION OF INSTITUTIONAL STRENGTHENING FUNDING

20xx to 20xx

Sections 1 to 12 and 15 to be completed by the country concerned prior to transmission to the implementing agency for comments in 14.

16. Country: _____

17. National implementing agency / ozone unit: _____

18. Implementing agency: _____

19. Institutional strengthening (IS) project phases (approved):

Phase	Duration (dd/mm/yy)	Multilateral Fund funding (approved)	Multilateral Fund funding (disbursed)

20. a) Reporting period (mm/yy to mm/yy): _____

b) Requested (phase funding (US \$), and period): _____

21. Data reporting:

Reporting requirement	Reported		Year reported	Year submitted
	yes	no		
Article 7				
Country programme implementation				

22. Describe the role and position of the National Ozone Unit (NOU) within the national administration, the way its work is supervised and its access to senior decision-makers (this may include cooperation with steering committees, advisory groups or inter-ministerial bodies).

23. Indicate the total number staff in the NOU:
- How many are paid under the IS? _____ Full time _____ Half time _____
 - How many are paid by the Government? _____ Full time _____ Half time _____

24. Is the unit fully staffed? YES NO

If no, explain _____

25. Please provide details on the status of the implementation of the activities approved from the previous IS phase and planned activities for the requested phase. Please add specific performance indicators.

Objectives (please add as necessary)	Activities in current phase	Achievements in current phase (specify phase/mm/yy)	Planned activities in next phase (specify phase/mm/yy)	Expected results for next phase
Objective 1: Adoption/implementation of ODS legislation and regulation to control and monitor ODS consumption				
Introduction of licensing and quota system for HCFCs				
Enforcement of control measures to sustain CFC phase out				
Monitoring illegal ODS trade (all ODS)				
Ratification of Amendments to the Montreal Protocol				
Objective 2: Efficient and timely data collection and reporting				
Monitoring customs import/export				
Article 7 data reporting				
Country programme data reporting				
Objective 3: Consultations and coordination with other national agencies/stakeholders				
Steering Committee				
Industry associations				

Objectives (please add as necessary)	Activities in current phase	Achievements in current phase (specify phase/mm/yy)	Planned activities in next phase (specify phase/mm/yy)	Expected results for next phase
Objective 4: Supervision of timely implementation of phase-out activities and reduction in ODS consumption				
Terminal phase-out management plan implementation				
HCFC phase-out management plan preparation/implementation				
Project 1				
Project 2				
Objective 5: Awareness raising and information exchange				
Information dissemination to key stakeholders				
International Ozone Day				
Objective 6: Regional cooperation and participation to Montreal Protocol meetings				
Regional network participation				
Open-ended Working Group / Meeting of the Parties				

26. Financial report:

Item of expenditure	Budget for current phase (US \$)	Disbursement (for current phase) (US \$)		Estimated budget (for requested phase) (US \$)	Government funding (in kind contribution) (US \$)	
		Actual	Obligated		Current phase	Requested phase
Staff (including consultants)						
Equipment						
Operational cost (i.e. meetings, consultations, etc.)						
Public awareness						
Other						
TOTAL						

27. Please evaluate the IS performance in meeting the following indicators:

Indicator	Evaluation			Comments
	Very good	Satisfactory	Poor	
1. Effectiveness of import control measures				
2. Integration of ozone protection issues into national plans				
3. Completion of phase-out projects				
4. Efficient data reporting				

28. Government endorsement:

Action plan authorized by (<i>name</i>):	
Signature of authorising authority:	<i>(to be signed on hard copy)</i>
Title:	
Supervising Organization/Agency/Ministry:	
Date:	

29. Submission of action plan:

Name of implementing agency:	
Name of Project Officer:	
Signature of Project Officer:	
Date:	
Comments of the implementing agency:	

30. Executive summary: please provide summaries for the information required below in no more than one paragraph each. These paragraphs will be used in documents for the Executive Committee Meeting.

- c) Terminal report
- d) Plan of action

*(UNEP/OzL.Pro/ExCom/74/56, decision 74/51, para 165e).
(Supporting document: UNEP/OzL.Pro/ExCom/74/51).*